



CIVIL AVIATION DIRECTIVE – 6010

# GROUND HANDLING

## GH

CIVIL AVIATION AUTHORITY OF MALAYSIA

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## Civil Aviation Directive components and Editorial practices

This Civil Aviation Directive is made up of the following components and are defined as follows:

**Standards:** Usually preceded by words such as “*shall*” or “*must*”, are any specification for physical characteristics, configuration, performance, personnel, or procedure, where uniform application is necessary for the safety or regularity of air navigation and to which Operators must conform. In the event of impossibility of compliance, notification to the CAAM is compulsory.

**Recommended Practices:** Usually preceded by the words such as “*should*” or “*may*”, are any specification for physical characteristics, configuration, performance, personnel, or procedure, where the uniform application is desirable in the interest of safety, regularity or efficiency of air navigation, and to which Operators will endeavour to conform.

**Appendices:** Material grouped separately for convenience, but forms part of the Standards and Recommended Practices stipulated by the CAAM.

**Definitions:** Terms used in the Standards and Recommended Practices that are not self-explanatory in that they do not have accepted dictionary meanings. A definition does not have independent status but is an essential part of each Standard and Recommended Practice in which the term is used, since a change in the meaning of the term would affect the specification.

**Tables and Figures:** These add to or illustrate a Standard or Recommended Practice, and which are referred to therein, form part of the associated Standard or Recommended Practice and have the same status.

**Notes:** Included in the text, where appropriate, Notes give factual information or references bearing on the Standards or Recommended Practices in question but not constituting part of the Standards or Recommended Practices;

**Attachments:** Material supplementary to the Standards and Recommended Practices or included as a guide to their application.

It is to be noted that some Standards in this Civil Aviation Directive incorporate, by reference, other specifications having the status of Recommended Practices. In such cases, the text of the Recommended Practice becomes part of the Standard.

The units of measurement used in this document are in accordance with the International System of Units (SI) as specified in CAD 5. Where CAD 5 permits the use of non-SI alternative units, these are shown in parentheses following the basic units. Where two sets of units are quoted it must not be assumed that the pairs of values are equal and interchangeable. It may, however, be inferred that an equivalent level of safety is achieved when either set of units is used exclusively.

Any reference to a portion of this document, which is identified by a number and/or title, includes all subdivisions of that portion.

Throughout this Civil Aviation Directive, the use of the male gender should be understood to include male and female persons.



## Record of Revisions

Revisions to this CAD shall be made by authorised personnel only. After inserting the revision, enter the required data in the revision sheet below. The *'Initials'* has to be signed off by the personnel responsible for the change.

Rev No.	Revision Date	Revision Details	Initials
ISS02/REV00	15 <sup>th</sup> November 2021	-	CAAM
ISS02/REV01	15 <sup>th</sup> November 2022	Refer to summary highlights	CAAM



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**Summary of Changes**

ISS/REV no.	Item no.	Revision Details
ISS02/REV01	Para 1.5	Inclusion of CSI (CAAM Safety Inspector)
	Para 2.2.1.1, Note 1	Revised to provide clarity on requirements
	Para 2.2.1.1, Note 5	Revised to provide clarity on requirements
	Para 2.2.1.12, Note 1	Revised to refer to the appendix in CAGM 6010
	Para 2.4.3	Added statement on TAC CQ requirement
	Para 2.8.1	Removed words in the bracket
	Para 2.8.8	Revised to refer to the appendix in CAGM 6010
	Para 3.1.1 (c)	Revised to refer to the appendix in CAGM 6010
	Para 3.1.1 (e)	Revised to provide clarity on requirements
	Para 3.1.1 (g)	Added list of documents to be included with the application
	Para 3.1.3	Revised to refer to the appendix in CAGM 6010
	Para 3.3	Revised to remove the repeated word
	Para 3.6.3 (d)	Revised to refer to the appendix in CAGM 6010
	Para 3.8	Additional requirements on revoked, inactive, or lapsed TAC added
	Para 4.1.7	Revised to refer to the appendix in CAGM 6010
	Para 4.4.6, Note	Revised to refer to the appendix in CAGM 6010
	Para 5.1.6	Revised to refer to the appendix in CAGM 6010
	Para 6.1.4	Revised to refer to the appendix in CAGM 6010
	Para 8.1.2	Added para to provide clarity on requirements
	Para 8.1.3	Added para to provide clarity on requirements
	Para 8.1.4	Revised to provide clarity on requirements
	Para 8.2.1	Added para to provide clarity on requirements
	Para 9.1.9	Revised to refer to the appendix in CAGM 6010
Para 10.1.4	Revised number of months in the table	
Para 10.2.1 (c)	Removed words in bracket	



*Summary of Changes*

	Para 11.3.2	Revised to provide clarity on requirements
	Para 11.4.4	Revised to provide clarity on requirements
	Para 12	Removed the whole appendices





# Table of Contents

<b>1</b>	<b>GENERAL AND DEFINITION</b> .....	<b>1-1</b>
1.1	CITATION .....	1-1
1.2	APPLICABILITY .....	1-1
1.3	REVOCAION .....	1-1
1.4	DEFINITION .....	1-1
1.5	ABBREVIATION .....	1-2
<b>2</b>	<b>GENERAL</b> .....	<b>2-4</b>
2.1	INTRODUCTION .....	2-4
2.2	GROUND HANDLING SERVICES CATEGORY .....	2-4
2.3	REQUIREMENT FOR CERTIFICATION .....	2-7
2.4	CERTIFICATION PROCEDURE.....	2-8
2.5	TECHNICAL AND OPERATIONAL STANDARDS FOR GROUND HANDLING SERVICES .....	2-8
2.6	OWNERSHIP, BUSINESS OFFICE AND OPERATIONS BASE .....	2-9
2.7	SUBCONTRACTED ACTIVITIES.....	2-9
2.8	INSPECTIONS.....	2-10
<b>3</b>	<b>CERTIFICATIONS</b> .....	<b>3-1</b>
3.1	APPLICATION FOR CERTIFICATION .....	3-1
3.2	ISSUE OF TECHNICAL APPROVAL CERTIFICATE (TAC).....	3-2
3.3	CONTENTS OF TECHNICAL APPROVAL CERTIFICATE (TAC).....	3-2
3.4	TAC HOLDER’S DUTY TO MAINTAIN OPERATIONS CATEGORY .....	3-2
3.5	VALIDITY OF TAC AND OPERATIONS CATEGORY.....	3-3
3.6	AMENDING A CERTIFICATE OR OPERATIONS CATEGORY.....	3-3
3.7	RENEWAL OF TAC .....	3-4
3.8	REVOKED, INACTIVE, OR LAPSED TAC.....	3-4
3.9	DISPLAY OF CERTIFICATES & POLICIES.....	3-5
<b>4</b>	<b>PERSONNEL REQUIREMENTS</b> .....	<b>4-1</b>
4.1	GENERAL .....	4-1
4.2	NOMINATED AM .....	4-1
4.3	NOMINATED POST HOLDERS (NPH) .....	4-2
4.4	COMBINATION OF NPH’S RESPONSIBILITIES .....	4-2
<b>5</b>	<b>MANUAL REQUIREMENTS</b> .....	<b>5-1</b>
5.1	GENERAL .....	5-1
<b>6</b>	<b>TRAINING REQUIREMENTS</b> .....	<b>6-1</b>
6.1	GENERAL .....	6-1
6.2	TRAINING SYLLABUS REQUIREMENT .....	6-1
6.3	COMPETENCY OF TRAINER, INSTRUCTOR, AND ASSOCIATE TRAINER.....	6-2
<b>7</b>	<b>GROUND SUPPORT EQUIPMENT AND FACILITIES</b> .....	<b>7-1</b>
7.1	FACILITIES .....	7-1
<b>8</b>	<b>FATIGUE MANAGEMENT</b> .....	<b>8-1</b>
8.1	GENERAL .....	8-1
8.2	PERSONNEL DUTY PERIOD LIMITATIONS AND REST REQUIREMENTS.....	8-1
<b>9</b>	<b>QUALITY ASSURANCE</b> .....	<b>9-1</b>
9.1	QUALITY ASSURANCE SYSTEM.....	9-1



<b>10</b>	<b>RECORDS AND REPORTS .....</b>	<b>10-1</b>
10.1	GENERAL .....	10-1
10.2	TRAINING FILE CONTENT AND ARRANGEMENT.....	10-2
<b>11</b>	<b>SAFETY MANAGEMENT SYSTEM .....</b>	<b>11-1</b>
11.1	INTRODUCTION TO SMS .....	11-1
11.2	COMPONENTS OF A SAFETY MANAGEMENT SYSTEM.....	11-1
11.3	HUMAN FACTORS.....	11-2
11.4	SAFETY CULTURE .....	11-2

## 1 General and Definition.

### 1.1 Citation

- 1.1.1 These Directives are the Civil Aviation Directives 6010 – Ground Handling (CAD 6010 GH), Issue 02/Revision 01, and come into operation on 15<sup>th</sup> November 2022.
- 1.1.2 This CAD 6010 – GH, Issue 02/Revision 02 will remain current until withdrawn or superseded.

### 1.2 Applicability

- 1.2.1 The following person shall be subject to this CAD:
- a) Ground Handling Self-Handlers (AOC Holder)
  - b) Ground Handling Service Providers,
  - c) Ground Handling Personnel.
- 1.2.2 This CAD shall apply to Self-Handler and GHSP prescribing the rules and technical requirements which provide ground handling services at Malaysian aerodrome.

### 1.3 Revocation

- 1.3.1 This CAD revokes Civil Aviation Directive 6010 – Ground Handling, Issue 02/Revision 00 dated 15<sup>th</sup> November 2021.

### 1.4 Definition

- 1.4.1 In this CAD, unless the context otherwise requires:

**Airport operator** means the party responsible to operate the airport and holds an Airport Operating Certificate.;

**Baggage** means such articles, effects, and other personal property of a passenger as are necessary or appropriate for wear, use, comfort, or convenience in connection with the trip. Unless otherwise specified, it includes both checked and unchecked baggage.;

**CAAM GH** means the Civil Aviation Authority Malaysia - Ground Handling Unit;

**Cargo** means any goods carried on an aircraft that is covered by an air waybill.;

**CEO** means Chief Executive Officer;

**Dangerous Goods** means an articles or substances which are capable of posing a significant risk to health, safety, or property when transported by air.

**GHI** means Ground Handling Inspector;

**Ground Handling Service Provider** means a certified organisation which scope of business is to perform ground handling functions. Ground Handling Service Providers is also referred to as Ground Handling Organisation.;

**IATA** means International Air Transport Association.

**IATA Dangerous Goods Regulations** means the documents Published by the International Air Transport Association IATA. The globally accepted field source reference for companies shipping hazardous materials by air, as amended.

**ICAO** means International Civil Aviation Organisation.

**ICAO Dangerous Goods Regulations** means the documents published by the International Civil Aviation Organisation (ICAO). The globally accepted field source reference for companies shipping hazardous materials by air, as amended.

**Load** means any item carried on an aircraft other than what is included in the basic operating weight.

**Load Control** means a function to ensure the optimum utilisation of the aircraft capacity and distribution of load as dictated by safety and operational requirements.

**MAVCOM** means Malaysian Aviation Commission.

**Safety Management System** means a system for the management of the safety of operations. It includes the organisational structure, responsibilities, procedures, processes, and provisions for the implementation of safety policies by the organisation. It provides for the control of safety within the organisation and the safe use of facilities and equipment.

**Self-Handler** means whomever provide ground handling services for their own operations only. Self-handler shall comply with Ground Handling technical requirements as specified under the AOC approval.

**1.5 Abbreviation**

ATC	Air Traffic Control
CAAM	Civil Aviation Authority Malaysia
CAD	Civil Aviation Directives
CAGM	Civil Aviation Guidance Material
CEO	Chief Executive Officer
CSI	CAAM Safety Inspector
FOI	Flight Operations Inspector
FRMS	Fatigue Risk Management System
GHI	Ground Handling Inspector
GHS	Ground Handling Services
GHSP	Ground Handling Service Provider
IATA	International Air Transport Association
ICAO	International Civil Aviation Organisation
ISAGO	IATA's Safety Audit of Ground Operations
JIG	Joint Inspection Group
MCAR	Malaysian Civil Aviation Regulation
NOTAM	Notice to Airmen
PIC	Pilot-In-Command
PM	Project Manager
POPS	Prospective operator's pre-assessment statement
SARPs	Standards and Recommended Practices
SMS	Safety Management System
SOA	Safety Oversight Audit
SOP	Standard Operating Procedure
TAC	Ground Handling Technical Approval Certificate



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## **2 General**

### **2.1 Introduction**

- 2.1.1 This section prescribes the rules and technical requirements governing organisations that provide ground handling services at Malaysian aerodrome.
- 2.1.2 For the purposes of this section, ground handling services include any of the following:
- a) Category 1 - Ground administration and supervision.
  - b) Category 2 - Passenger handling.
  - c) Category 3 - Freight and mail handling, (Landside).
  - d) Category 4 - Aircraft services.
  - e) Category 5 - Aircraft maintenance.
  - f) Category 6 - Flight operations and crew administration.
  - g) Category 7 - Surface transport.
  - h) Category 8 - Catering services.
  - i) Category 9 - Baggage handling.
  - j) Category 10 - Freight and mail handling, (Airside)
  - k) Category 11 - Ramp handling.
  - l) Category 12 - Fuel and oil handling.
- 2.1.3 The operations category associated with a TAC is an integral part of the authorisation under which an operator conducts operations.
- 2.1.4 The operation categories identify the CAAM office involved, the number of the associated TAC, the name of the operator, the date of issuance, and the signature of the CAAM official responsible for its issuance and show the make the type of operation and the aerodromes in which operations are authorised.
- 2.1.5 The operation categories cover all aspects of the operation and include special limitations, conditions, and authorisations with criteria as appropriate. Detailed conditions applicable to operations categories may also be approved by CAAM in the operations manual.

### **2.2 Ground Handling Services Category.**

- 2.2.1 This section prescribes the rules and technical requirements governing organisations that provide ground handling services at Malaysian aerodrome. Detailed ground handling services category is explained be

2.2.1.1 Category 1 - Ground administration and supervision. Comprising:

- a) Representation and liaison services with local authorities or any other entity disbursements on behalf of the airport user and provision of office space for its representatives;
- b) Load control, messaging, and telecommunications;
- c) Handling, storage, and administration of unit load devices;
- d) Any other supervision services before, during, or after the flight; and
- e) Any other administrative service requested by the airport user.

*Note 1. – Culture management – Clear segregation of GHSP Station Head role/responsibility & airline representation role/responsibility and line of reporting (overall supervision & operations monitoring) – Customer/airline/operator shall employ personnel to resume customer/airline/operator Station Manager roles.*

*Note 2. - Facilities, storage & office space – May occupy the same space, however, must have locked storage for the accountable document.*

*Note 3. - Supervisory services - shall be stipulated in the Standard Ground Handling Agreement (SGHA) and Service Level Agreement (SLA) between the operator (airline) and GHSP.*

*Note 4. - Support - implementation of airline's Safety Management System (SMS) and Emergency Response Plan (ERP) Handling (if required).*

*Note 5. - Qualified and trained personnel - Ensures personnel training complied with regulatory and mandatory requirements according to the training matrix (SMS, etc) to fulfil the station management role of the GHSP.*

2.2.1.2 Category 2 - Passenger handling.

Comprising any kind of assistance to arriving, departing transfer, or transit passengers, including checking tickets and travel documents, registering baggage, and carrying it to the sorting area.

2.2.1.3 Category 3 - Freight and mail handling, (Landside), Comprising:

- a) For freight handling of related documents, customs procedures and the implementation of any security procedure agreed between the parties or required in the circumstances;
- b) For mail handling of related documents and implementation of any security procedure between the parties or required by the circumstances.

2.2.1.4 Category 4 - Aircraft services. Comprising:

- a) The external and internal cleaning of the aircraft, and the toilet and water services;



- b) The cooling and heating of the cabin, the removal of snow and ice, the de-icing of the aircraft;
- c) The rearrangement of the cabin with suitable cabin equipment, and the storage of the equipment.

2.2.1.5 Category 5 - Aircraft maintenance. Comprising:

- a) Routine services performed before flight;
- b) Non-routine services requested by the airport user;
- c) The provision and administration of spare parts and suitable equipment;
- d) The request for or reservation of suitable parking and/or hangar space.

*Note – Application and issuance of approval for Category 5 are done through Part 145 Certification by the Air Worthiness Division of CAAM.*

2.2.1.6 Category 6 - Flight operations and crew administration. Comprising:

- a) Preparation of the flight at the departure airport or at any other point;
- b) In-flight assistance, including re-dispatching if needed;
- c) Post-flight activities;
- d) Crew administration.

2.2.1.7 Category 7 - Surface transport. Comprising:

- a) The organisation and execution of crew, passenger, baggage, freight, and mail transport between different terminals of the same airport, but excluding the same transport between the aircraft and any other point within the perimeter of the same airport;
- b) Any special transport requested by the airport user.

2.2.1.8 Category 8 - Catering services. Comprising:

- a) Liaison with suppliers and administrative management;
- b) Storage of food and beverages and the equipment needed for the preparation of food and beverages;
- c) Cleaning of the equipment;
- d) Preparation and delivery of equipment as well as of bar and food.

2.2.1.9 Category 9 - Baggage handling.

Comprising with handling baggage in the sorting area sorting it, preparing it for departure, loading it onto and unloading it from the devices designed to move

it from the aircraft to the sorting area and vice versa, as well as transporting baggage from the sorting area to the reclaim area.

2.2.1.10 Category 10 - Freight and mail handling. (Airside)

As regards, the physical handling of freight and mail whether incoming, outgoing, or being transferred, between the air terminal and the aircraft.

2.2.1.11 Category 11 - Ramp handling. Comprising:

- a) Marshalling the aircraft on the ground at arrival and departure;
- b) Assistance to aircraft parking and provision of suitable devices;
- c) Communication between the aircraft and the air-side supplier of services;
- d) The loading and unloading of the aircraft, including the provision and operation of suitable means, as well as the transport of crew and passengers between the aircraft and the terminal, and baggage transport between the aircraft and the terminal;
- e) The provision and operation of appropriate units for engine starting;
- f) The moving of the aircraft at arrival and departure, as well as the provision and operation of suitable devices;
- g) The transport, loading on to and unloading from the aircraft of food and beverages.

2.2.1.12 Category 12 - Fuel and oil handling. Comprising:

- a) The organisation and execution of fuelling and de-fuelling operations, including the storage of fuel and the control of the quality and quantity of fuel deliveries;
- b) The replenishing of oil and other fluids.

*Note. - The detailed requirements for the Ground Handling application form and compliance checklist are specified in Appendix 1 of CAGM 6010.*

### 2.3 Requirement for Certification.

2.3.1 No GHSP may be established and operated in Malaysia except in accordance with the provisions of the TAC issued under this section for each aerodrome at which the GHSP is operating.

2.3.2 All CAAM regulated entities operating in a certified aerodrome who provide ground services for their own operations only, hereinafter referred to as "self-handlers", do not require a TAC issued under this part provided their ground services (Ground Handling systems, procedures, programs, personnel, manuals, equipment, and facilities) comply with the Ground Handling technical requirements as specified in the AOC requirements. If the CAAM determines that the ground services provided

- 2.3.3 by the air operator do not provide an acceptable level of safety, CAAM may prohibit the air operator from providing its own ground handling services.
- 2.3.4 Organisations providing ground handling services as a subcontracted entity to a ground handling service provider certificated under this section must comply with MCAR Regulation 139.

## **2.4 Certification Procedure**

- 2.4.1 The procedure for the application and granting of a TAC by CAAM will be organised in phases and will take the following sequence:
- a) Pre-application phase;
  - b) Formal application phase;
  - c) Document evaluation phase;
  - d) Demonstration and inspection phase; and
  - e) Certification phase.
- 2.4.2 Each of these phases is briefly introduced in the CAGM 6010 – Ground Handling.
- 2.4.3 The certification process will be conducted via TAC Compliance Questionnaires (TAC CQ) which details can be found in Chapter 3 of CAGM 6010

## **2.5 Technical and Operational Standards for Ground Handling Services.**

- 2.5.1 Ground handling services must be carried out, as applicable in accordance with the procedures, standards and training guidelines contained in:
- a) Ground Operations Manual (GOM);
  - b) Ground Handling Manual (GHM), including the technical safety requirements and standards for motorised and non-motorised ground support equipment;
  - c) IATA Safety Audit for Ground Operations (ISAGO);
  - d) Cargo Handling Manual (CHM), including live animal and perishable goods regulations;
  - e) ICAO Technical Instruction and IATA Dangerous Goods Regulations (DGR) and
  - f) ICAO Doc 9977 and 10121.
- 2.5.2 In conformity with the specifications, procedures, and recommended practices contained in the Joint Inspection Group (JIG) standards for into-plane fuelling services, airport depots, and hydrants.

- 2.5.3 In accordance with the procedures, standards, and recommended practices contained in the Food Act 1983, Food Hygiene Regulations 2009, and International Health Regulations 2005.
- 2.5.4 In conformity with the requirements of the applicable aerodrome operator.
- 2.5.5 In conformity with their customer's specific operating procedures and requirements, where applicable.
- 2.5.6 In conformity with the TAC holder's, manuals, policies, and procedures as accepted by the CAAM.
- 2.5.7 In cases where the procedures, standards, and recommended practices contained in the documents referenced in this section contradict any requirements prescribed in this part or relevant CAAM regulatory and guidance material, this part or CAAM regulatory and guidance material shall prevail.

## **2.6 Ownership, Business Office and Operations Base.**

- 2.6.1 Each Self-Handlers and GHSP's must maintain a principal business office in Malaysia and an operating base at the aerodrome at which services are provided. The principal business office may be located outside of the aerodrome if office space is unavailable with written notification by the aerodrome operator and efficient and effective ground handling operation is assured by Self-Handlers and GHSP's.
- 2.6.2 Each Self-Handlers and GHSP's must provide written notification to CAAM at least 30 calendar days before a change in the location of its principal business office or its operations base at the aerodrome.
- 2.6.3 Each Self-Handlers and GHSP must provide written notification to the CAAM at least 30 calendar days after any change in the ownership structure of its business.

## **2.7 Subcontracted Activities.**

- 2.7.1 Subcontracted activities include all activities prescribed within the GHSP's TAC that can be performed by another certificated organisation under Regulation 139 of MCAR.
- 2.7.2 When the GHSP outsourced all of its activities, they shall ensure that the appointed organisation holds a valid TAC with all the categories are within the GHSP TAC.
- 2.7.3 When the GHSP subcontracts any part of its activity (partial outsourcing) to an organisation, the subcontracted organisation must work under the responsibility and quality assurance system of the Self-Handler and/ or GHSP. It is the

responsibility of the Self-Handler and licensed GHSP to ensure compliance with the requirements stipulated in this CAD.

- 2.7.4 The Self-Handler and GHSP must ensure that when subcontracting any part of its activity, the subcontracted-conforms to these parts and applicable requirements and a contractual agreement between the two parties shall exist.
- 2.7.5 The Self-Handler and GHSP must conduct a full audit of the subcontracted organisation to the satisfaction of CAAM at least once every 12 months.
- 2.7.6 A subcontracted organisation is not permitted to subcontract any of its services to a third party or organisation.

## **2.8 Inspections.**

- 2.8.1 Each Self-Handlers and GHSP's must allow the CSI to inspect its operation, personnel, facilities, equipment, manuals, records, and documents at any time to determine the Self-Handler and GHSP compliance with this section.
- 2.8.2 Each Self-Handlers and GHSP's shall at the request of a CAAM Ground Handling Inspector, allow the GHI and provide the equipment necessary to conduct any inspections, including unannounced inspections, or conduct tests of Ground Handling facilities, equipment, or operating procedures at the aerodrome to determine compliance with the applicable section of this CAD to ensure the safety of the operations.
- 2.8.3 Each Self-Handlers and GHSP's must allow GHI access to any part of the Ground Handling facilities, equipment, or records for the purposes of item 2.8.1 of this section.
- 2.8.4 Each Self-Handlers and GHSP's shall allow the GHI to make special inspections to ensure aviation safety:
- a) As soon as practicable after any accident or incident;
  - b) During the period of construction or repair of Ground Handling facilities or equipment that is critical to the safety of Ground Handling operation and
  - c) Of any other Ground Handling conditions that could affect aviation safety.
- 2.8.5 Subject to item 2.8.1 under this section, the CAAM shall delegate GHI to conduct safety inspections or authorise approved persons to do so on its behalf.
- 2.8.6 The CAAM:
- a) Shall give reasonable notice of any tests or inspections to be conducted to the Self-Handlers and GHSP; and
  - b) Shall carry out the tests or inspections within and at a reasonable time.



- 2.8.7 Where unannounced inspections are to be conducted by the GHI, item 2.8.6(a) under this section does not apply.
- 2.8.8 The Audit/Inspection finding response format is specified in Appendix 1 of CAGM 6010.
- 2.8.9 The details guidance for compliance is outlined in the CAGM6010.

## 3 Certifications

### 3.1 Application for Certification.

3.1.1 Each applicant for a TAC must apply in a manner prescribed by the CEO and include with the application:

- a) The following manuals for the acceptance of CAAM:
  - 1) The ground operations/handling manual;
  - 2) The training manual;
  - 3) The Safety Management System (SMS) manual, including but not limited to, the SMS implementation plan, maintenance of up-to-date incident/accident database, root cause analysis methodology for incidents/accidents, corrective and preventive action planning, and a safety promotion plan incorporating a CAD prevention program.
  - 4) The emergency response plan (ERP) and consistent with the aerodrome emergency plan. The ERP must specify the actions of the GHSP in an emergency situation including, but not limited to, the emergency cases defined by CAAM.
- b) The ownership structure and organisational chart of the GHSP with the management designation.
- c) A compliance report showing that the GHSP meets each applicable requirement of this section. The Compliance Checklist can be found in Appendix 1 of CAGM 6010.
- d) The names, knowledge, and experience of the key management personnel for the acceptance of CAAM.
- e) A copy of the tenancy agreement between the GHSP and the aerodrome operator.
- f) A copy of the audited financial statement.
- g) A copy of company ownership or list of shareholders.
- h) A copy of the insurance certificate.
- i) A copy of the latest commissioning report or local authority approval for the GHSP under category 12.
- j) Pay all fees and charges as required under the Civil Aviation (Fees and Charges) Regulations 2016 and such other fees and charges as may be determined by the Minister.

3.1.2 The detailed instructions for the certification process are given in CAGM 6010.

3.1.3 The detailed requirements for the GHSP application form are specified in Appendix 1 of CAGM 6010.

### **3.2 Issue of Technical Approval Certificate (TAC).**

3.2.1 CAAM may issue a TAC if the ground handling operation satisfies the followings:

- a) The applicant meets the requirements of this section;
- b) The issue of the TAC is in the interests of aviation safety, the quality and comprehensiveness of the GHSP; and
- c) The capabilities and the number of GHSP's operating at an aerodrome are sufficient to handle the anticipated yearly volume of passengers and aircraft movements without raising operational concerns or congestion on the airside or exceeding the capacity of the aerodrome's infrastructure.

### **3.3 Contents of Technical Approval Certificate (TAC).**

3.3.1 Each TAC holder must obtain the operations category containing all of the following:

- a) The specific location of the TAC holder's operations bases and, if different, the address that will serve as the primary point of contact for correspondence between CAAM and the TAC holder.
- b) The type(s) of ground service (operation categories) provided as defined in this CAD.
- c) The aerodrome where the ground services are to be provided.
- d) A listing of any authorised subcontracted activities and the corresponding subcontracted organisations.
- e) The conditions and limitations under which each ground service is to be conducted, where applicable.
- f) Any exemption granted from any requirement, where applicable.
- g) Any other item that CAAM determines is necessary.

### **3.4 TAC Holder's Duty to Maintain Operations Category.**

3.4.1 Each TAC holder must maintain a complete set of its operations category at its principal business office.

3.4.2 Each certificate holder must insert pertinent excerpts of, or references to, its operations category into its manuals and must:

- a) Clearly identify each such excerpt as a part of its operations specifications, and
- b) State that compliance with the operations specifications is mandatory.



- 3.4.3 Each TAC holder must keep each of its personnel and other persons used in its operations informed of the provisions of its operations category that apply to that person's duties and responsibilities.

### **3.5 Validity of TAC and Operations Category.**

- 3.5.1 The validity period of a TAC issued under this section is 1 year unless prescribes a longer period not exceeding 5 years.

*Note – The GHSP shall pay in full as per the validity of TAC when it is issued for a longer period.*

- 3.5.2 A TAC issued under this section is effective until:

- a) The TAC expires;
- b) The TAC holder surrenders it to CAAM, or
- c) CAAM suspends, revokes, or otherwise terminates the TAC.

- 3.5.3 The operations categories issued under this section are effective unless:

- a) The TAC issued under this section expires;
- b) The CAAM suspends, revokes, or otherwise terminates the TAC;
- c) The operations category is amended or added; or
- d) The CAAM suspends or revokes the operations category or any part of these.

- 3.5.4 When the GHSP decided to end its operations, within 30 calendar days after a TAC holder terminates its operations, the TAC and operations category terms and conditions must be surrendered by the TAC holder to the CAAM.

### **3.6 Amending a Certificate or Operations Category.**

- 3.6.1 The CAAM may amend any TAC issued under this section if:

- a) The CAAM determines that aviation safety or/and the public interest require the amendment or
- b) The TAC holder applies for the amendment and the CAAM determines that the criteria as of Second Schedule in MAVCOM 2015 have been met.

- 3.6.2 When the CAAM proposes to issue an order amending, suspending, or revoking all or part of any TAC.

- 3.6.3 When the certificate holder applies for an amendment of its certificate, the following procedure applies:

- a) The certificate holder must file an application to amend its certificate with the CAAM at least 120 calendar days before the date proposed by the applicant

- b) for the amendment to become effective unless the CAAM approves filing within a shorter period.
- c) The certificate holder must ensure that all relevant approval has been obtained from MAVCOM prior to submission of any amendment to CAAM.
- d) The type of amendment allowed under this part is listed below.
  - 1) Addition of operation categories
  - 2) Addition of operation aerodrome
  - 3) Removing of operation categories
  - 4) Removing of operation aerodrome

*Note – Any other amendment not listed above such as a change of business address, contact person, or contact details can be done in a shorter period of time provided all documentation is submitted completely.*

- e) The application must be submitted in the form and manner prescribed by the CAAM as per Appendix 1 of CAGM 6010.

### **3.7 Renewal of TAC.**

- 3.7.1 A person applying to the CAAM for the renewal of a TAC issued under this section must apply in a form and manner prescribed by the CAAM as per Appendix 1.
- 3.7.2 Each applicant must submit the application for renewal to the CAAM not less than 4 calendar months before the certificate expires.
- 3.7.3 An applicant shall ensure that complete documentation is submitted during the renewal application. Among others, the following shall be accompanied together with the application.
  - a) Payment in full for fees and charges.
  - b) Latest audited financial statement.
  - c) List of company director(s).
  - d) List of shareholders.
  - e) A copy of the ground handling license (GHL).
  - f) A copy of existing TAC.
  - g) A copy of valid insurance coverage.

### **3.8 Revoked, Inactive, or Lapsed TAC**

- 3.8.1 There are three (03) main components of the organisation, the hardware {GSE, facility, equipment, finance), the people (NPH, certified staff, management, and support staff) and the processes as indicated in the CAAM approved operations manual. When any one of these three (03) components is affected, the TAC is no

longer relevant. The three (03) components are related, balanced, and compatible with each other. A change in any one of them will result in affecting this balance and compatibility, and depending on the organisations scope may affect its ability to sustain the conditions under which the approval is granted. This will result in the CAAM's intervention which could be subjecting the organisation to a full recertification or even suspending or revoking the original certificate.

- 3.8.2 CAAM will not reinstate revoked, inactive, or lapsed TACs, hence it will require to undergo a full certification cycle.
- 3.8.3 Any TAC which is inactive or suspended or lapsed for more than 90 days will be revoked.
- 3.8.4 Voluntary suspension of a TAC by the GHSP is valid for 90 days and is renewable for another 90 days (if accepted by the CAAM). After this period, the TAC will be considered inactive/lapsed.
- 3.8.5 A TAC application process that is inactive or not progressing for 90 days will be terminated.

*Note – Item 3.8 is only applicable if the GHSP still holds a valid GHL issued by MAVCOM.*

### **3.9 Display of Certificates & Policies.**

- 3.9.1 Each TAC holder must display the certificate at its operations base in a place that is visible and normally accessible to the public. A certified true copy of TAC must be displayed at all operations aerodromes.
- 3.9.2 The TAC must be made available for inspection upon request by the CAAM.
- 3.9.3 The Safety, Security, and Quality policy, or a combination of those, must be visible at the principal business office and at all ground stations of the certificate holder in places accessible to all staff



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## **4 Personnel Requirements**

### **4.1 General**

- 4.1.1 Each Self-Handlers and GHSP's must appoint an Accountable Manager, who has corporate authority for ensuring that all services required by customers can be financed and carried out to the standard required by this part.
- 4.1.2 Each Self-Handlers and GHSP's must have a sufficient number of appropriately qualified staff, who possess adequate knowledge, experience, and competence to ensure that all of the requirements of this part are met given the ground service provider's scope of operations and the expected work.
- 4.1.3 In addition to the key management personnel, Each Self-Handlers and GHSP's's must provide enough qualified personnel, who possess adequate knowledge, experience, and competence to plan, supervise and perform the ground handling services authorised by the CAAM.
- 4.1.4 Any personnel performing any of the ground handling service functions must hold a valid and appropriate ground handling services personnel work permit.
- 4.1.5 Each Self-Handlers and GHSP's must ensure that staff at all levels have been given appropriate authority to be able to discharge their allocated responsibilities.
- 4.1.6 Each Self-Handlers and GHSP's shall establish a flight safety document system for their operational personnel as part of its safety management system.
- 4.1.7 The detailed requirements for AM and NPH application forms are specified in Appendix 1 of CAGM 6010.

### **4.2 Nominated AM**

- 4.2.1 The GHSPs shall appoint AM as approved by the CAAM who has corporate and financial authority for ensuring that all operations and maintenance activities can be financed and carried out to the standard required by the CAAM and any additional requirements defined by the GHSP.
- 4.2.2 The AM is an essential part of the GHSPs management organisation. The term 'AM' is intended to mean the person irrespective of other functions, is accountable on behalf of the organization, for the implementation and maintenance of an effective operation of GHSP.
- 4.2.3 Chairman/ Managing Director/ Director General/ General Manager, etc. of the GHSP organization, who by virtue of his position has overall responsibility (including finance) for managing the organisation.
- 4.2.4 Delegation of authority - the AM may delegate his authority, especially in the scope of finance to a senior member(s) of his management team in order to ensure

effective and safe operation. The senior member(s) who hold the delegation is known as the Delegated AM.

#### **4.3 Nominated Post Holders (NPH).**

4.3.1 The operator shall appoint NPH as approved by the CAAM, who is responsible for the management and supervision of the following areas:

- a) Ground Operations - Director of Ground Operations (DGO)/ Ground Operations Manager (GOM) or equivalent;
- b) Training Manager or equivalent;
- c) Safety Manager or equivalent; and
- d) Others as required by the CAAM.

4.3.2 The CAAM shall not approve a nomination that does not meet the requirements.

4.3.3 NPH shall have practical experience and expertise in the application of aviation safety standards and safe operating practices; comprehensive knowledge of CAA 1969, MCAR 2016, and any associated requirements and procedures, operations categories, SMS, or Management Manuals where applicable. Minimum of five (05) years of management working experience of which at least two years should be from the aeronautical industry in an appropriate management position.

4.3.3.1 Ground Operations - Director of Ground Operations (DGO)/ Ground Operations Manager (GOM) or equivalent shall have practically sufficient knowledge and experience in the area of its intended operations categories.

4.3.3.2 Training Manager or equivalent - shall hold a Train the trainer certificate and have a thorough knowledge of the GHSP categories training concept for ground staff where applicable.

4.3.3.3 Safety Manager or equivalent – shall possess appropriate experience related to the safety of the GHSP categories and be trained in the area of safety management system or similar.

4.3.3.4 Others Post Holders - This requirement shall be determined by the CAAM depending on the size and complexity of the operations. The NPH should have a thorough knowledge and qualification relevant to their duties and responsibilities.

#### **4.4 Combination of NPH's responsibilities**

4.4.1 The acceptability of a single person holding several posts, possibly in combination with being the AM as well, will depend upon the nature and scale of the operation. The two main areas of concern are competency and an individual's capacity to meet his responsibilities.



- 4.4.2 With regard to competency in the different areas of responsibility, there should not be any differences from the requirements applicable to persons holding only one post.
- 4.4.3 The capacity of an individual to meet his responsibilities will primarily be dependent upon the scale of the operation. However, the complexity of the organisation or of the operation may prevent, or limit, combinations of posts that may be acceptable in other circumstances.
- 4.4.4 In most circumstances, the responsibilities of the NPH will rest with a single individual. However, in the area of ground operations, it may be acceptable for these responsibilities to be split, provided that the responsibilities of each individual concerned are clearly defined.
- 4.4.5 The AM and NPH shall be Malaysian citizens unless local expertise is not available for the safety of its operation. In cases where foreign expertise is required, approval shall be granted in accordance with the local employment terms and conditions and approved by the CAAM.

*Note – The Ground Handling Accountable Manager (AM) and Nominated Post Holder (NPH) Forms are specified in Appendix 1 of CAGM 6010.*



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## 5 Manual Requirements

### 5.1 General

- 5.1.1 The Self-Handlers and GHSP shall arrange for the production of ground handling safety documents according to criteria that ensure easy access to information required for flight and ground operations contained in the various operational documents comprising a system which facilitates management of the distribution and revision of operational documents.
- 5.1.2 Each applicant is required to submit the required Manuals as per Regulation 139 of MCAR 2016. The manual will be subjected to scrutiny and either the whole manual or any part thereof, as determined by the CEO, shall have to be approved.
- 5.1.3 All Self-Handlers and GHSP's need to provide the following manuals:
- a) Ground Handling Manual (GHM) - The GHM is policy driven and focuses on "what to do".
  - b) Ground Operation Manual (GOM) - The GOM is procedure driven, focusing on "how to do".
  - c) Ground Training Manual (GTM) – The GTM outlined all the training requirements according to operation categories.
  - d) SMS Manual – The SMS Manual contains the policy on the safety management system of the organisation.
  - e) ERP Manual - is a compulsory content that should be included in the SMS Manual. ERP Manual can also be in the form of a standalone document.
  - f) Other manuals – if deemed necessary by self-handlers or GHSPs or CAAM.
- 5.1.4 Each Self-Handlers and GHSP's must develop and maintain a ground handling manual that:
- a) Is in a form easy to revise and organised in a manner helpful to the preparation, review, and acceptance processes.
  - b) Is in the English language and signed by the certificate holder's accountable manager (AM);
  - c) A yearly revision submitted for approval must be traceable and identifiable in the text.
- 5.1.5 The manuals, including any revisions, are approved by the CAAM.
- 5.1.6 The detailed requirements for manuals are specified in Appendix 1 of CAGM 6010.
- 5.1.7 Each Self-Handlers and GHSP's must keep its manuals current at all times and must provide the CAAM with a complete and most current copy of its approved



manuals. The detailed requirements for the mandatory manual are specified in Appendix 3 of CAGM 6010.

## 6 Training Requirements

### 6.1 General

6.1.1 Each Self-Handlers and GHSP's must deliver adequate training to all staff engaged in the provision of ground services, and at all levels.

6.1.2 Each Self-Handlers and GHSP's must:

- a) Establish and implement a training program that consists of initial and recurrent training, for all staff. A training syllabus shall be approved by CAAM.
- b) The training may be provided by the approved training organisation (ATO) or by an entity acceptable to the CAAM.
- c) Ensure that personnel employed (direct hired or via vendors through manpower supply arrangement) by the ground handling service provider are adequately trained as per 6.1.2 (a) to perform assigned duties.
- d) When training is provided internally, adequate training facilities and properly qualified instructors approved by CAAM for the training required by this section.
- e) Ensure that the training manual and training material is kept current concerning the latest requirements in the applicable technical and training standards.
- f) Each GHSP must verify before any person is assigned to perform ground handling service functions, that all required mandatory and functional training has been completed by the person and that the person has successfully passed an operational assessment and was believed to be competent to exercise the responsibilities of the job function(s) authorised.

6.1.3 The List of ground handling mandatory and functional training/courses are specified in Appendix 3.

6.1.4 When DG training is required, the GHSP shall comply with the IATA DG Training Requirement Matrix as shown in Appendix 4 of CAGM 6010.

*Note. - Details requirements for DG training can be found in the Civil Aviation Directive – 18 (National Transport of Dangerous Good Programme)*

### 6.2 Training Syllabus Requirement

6.2.1 The following mandatory training programme applies to all personnel performing the ground handling functions:

- a) Safety Management System (SMS) Awareness;
- b) Aviation Security (AVSEC) Awareness;
- c) Human Factors;
- d) Airside Safety;



e) Emergency Response Plan (ERP).

6.2.2 Each Self-Handlers and GHSPs is also required to establish a functional training syllabus that conforms to operation categories. Guidelines on recommended functional training for all operation categories can be found in Appendix 3.

### 6.3 **Competency of Trainer, Instructor, and Associate Trainer**

6.3.1 Theoretical and practical skills training shall be conducted by personnel who have demonstrated the skills to deliver the training effectively, and who have the competence (knowledge, skill, and experience) in the subjects to be instructed.

6.3.2 Assessments shall be conducted by persons who have appropriate knowledge, skills, and experience in the functions being assessed.

6.3.3 For training that has an on-the-job training (OJT) component, the Self-Handlers, and GHSPs should also establish clear criteria in the selection of the OJT mentor, trainer, and assessor.

6.3.4 All Trainers shall get approval or endorsement from CAAM and the trainer assessment shall be conducted upon request by the GHSPs either through actual class or simulation class.

6.3.5 GHSPs shall maintain an appropriate number of trainers according to the operational requirements and each approval is valid only for 3 years.

## 7 Ground Support Equipment and Facilities

### 7.1 Facilities

7.1.1 Each Self-Handlers and GHSP's must:

- a) Provide facilities for its personnel to properly perform the ground services for which it is authorised in its operations category.
- b) Have suitable space and sufficient infrastructure for the staging, storage, and protection of ground support equipment relevant to its operations and for the build-up and breakdown of ULDs, where applicable.
- c) The Self-Handlers and GHSP shall have a maintenance program and documented GSE maintenance control system including records of all maintenance and inspection.
- d) Segregate and appropriately identify unserviceable ground support equipment from serviceable equipment.
- e) Have the means and procedures in place for fire protection and prevention on the airside and for addressing spillage of fluids.

7.1.2 Facilities for personnel must include the following:

- a) Sufficient workspace within the aerodrome vicinity.
- b) Segregated work areas enabling environmentally hazardous or sensitive operations to be done properly and in a manner that does not adversely affect other activities.
- c) Ventilation, lighting, and control of temperature, humidity, and other climatic conditions sufficient to ensure personnel performs duties to the standards required.
- d) Ventilated rest areas for operational staff working on shift.

7.1.3 Periodic checks/servicing/inspection shall be performed minimally in accordance with the schedule recommended by OEM, including necessary servicing and/or replacement of components.

7.1.4 The Self-Handlers and GHSPs shall have in place a defect reporting process, including corrective action plans to address GSE faults.

7.1.5 The Self-Handlers and GHSPs shall ensure that maintenance records/documentation are retained according to the stipulated period by the GHSP.

7.1.6 For all facilities operated by a ground service provider which are not provided by the aerodrome operator, the Self-Handlers and GHSPs must present evidence of the facility's certification or/and approval by the pertinent authority or aerodrome



operator regarding its compliance with the applicable fire safety, health & safety, hygiene and security requirements.

## **8 Fatigue Management**

### **8.1 General**

- 8.1.1 Each Self-Handlers and GHSP's and its subcontractors must ensure that the risks due to fatigue of the ground service personnel are managed to an acceptable level.
- 8.1.2 Fatigue is a natural physiological reaction to prolonged physical and/or mental stress. The ground handling operations are at many aerodromes 24-hour operations with shift patterns that involve unsocial hours.
- 8.1.3 Fatigue will occur following long periods of work and periods of hard work.
- 8.1.4 In managing the risks due to fatigue, the Self-Handler and GHSP must consider the effects of the length and timing of the duty period and rest period.

### **8.2 Personnel Duty Period Limitations and Rest Requirements.**

- 8.2.1 Fatigue is a significant safety issue when working in a round-the-clock environment, such as in ground handling activities. The Self-Handler and GHSP shall establish and implement a fatigue management programme designed to ensure personnel do not carry out their duties when fatigued
- 8.2.2 Except as provided in 8.1.2 of this section, each certificate holder or subcontracted organisation performing ground services for the certificate holder, must comply with the Malaysia Employment Act 1955.



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## **9 Quality Assurance**

### **9.1 Quality Assurance System**

- 9.1.1 Each Self-Handlers and GHSP's must establish a quality assurance system to ensure compliance with, and the adequacy of, the procedures required under this part.
- 9.1.2 The quality assurance system must be described in a quality assurance policy acceptable to the CAAM, which must include but not limited to:
- a) Procedures to ensure the monitoring and continuing compliance of the Self-Handlers and GHSP and its subcontracted organisations with this section and to ensure the adequacy of operating procedures;
  - b) A procedure to ensure that quality indicators, including personnel and customer feedback, are established and monitored to identify existing problems within the organisation.
  - c) A procedure for identifying the root cause(s) and corrective action(s) to ensure existing problems that have been identified within the organisation are corrected.
  - d) A procedure for preventive action(s) to ensure that potential causes of problems that have been identified within the organisation are remedied.
  - e) An internal audit plan for the organisation and all subcontracted entities to ensure conformity with the procedures in the manual and to achieve the goals set in the safety policy.
  - f) Management review procedures, that should include the use of statistical analysis where appropriate, to ensure the continuing suitability and effectiveness of the quality assurance system in satisfying the requirements of this part, and
  - g) Manual amendment procedure, including the notification of the CAAM for acceptance of revisions.
- 9.1.3 The procedure required under 9.1.2(c) of this section for corrective action(s) must specify how:
- a) To conduct a root cause analysis for identified problems.
  - b) To correct an existing quality problem.
  - c) To follow up a corrective action to ensure the action is effective.
  - d) To amend any procedure required under this part as a result of corrective action, and
  - e) Management will measure the effectiveness of any corrective action taken.

- 9.1.4 The procedure required under 9.1.2(d) of this section for preventive action(s) must specify how:
- a) To correct a potential quality problem.
  - b) To follow up a preventive action to ensure the action is effective.
  - c) To amend any procedure required under this part as a result of preventive action, and
  - d) Management will measure the effectiveness of any preventive action taken.
- 9.1.5 The internal audit program required under 9.1.2(e) of this section must:
- a) Specify the frequency and location of the audits taking into account the nature of the activity to be audited;
  - b) Measure the effectiveness of any preventative or corrective action(s) taken by the personnel responsible for the activity being audited since the last audit, and
  - c) Require preventative or corrective action to be taken by the personnel responsible for the activity being audited if problems are identified from the audit.
- 9.1.6 The procedure for management review required under 9.1.2(f) of this section must:
- a) Specify the frequency of management reviews of the quality assurance system, taking into account the need for the continuing effectiveness of the system and ensuring that they take place no less than once (1) per calendar year.
  - b) Identify the senior person responsible for the management reviews referred to in 9.1.6(a) of this section.
- 9.1.7 If a quality post-holder is appointed, the Self-Handlers and GHSPs must:
- a) Ensure that the safety policy and the relevant procedures are understood, implemented, and maintained at all levels of the organisation.
  - b) Appoint at each aerodrome the ground service provider operates a person responsible for audits and inspections meeting the requirements and with a direct reporting line to the quality post-holder.
  - c) Ensure that the audits are performed by trained auditing personnel who are independent of those having direct responsibility for the activity being audited.
  - d) Ensure that the results of the audits are reported to the personnel responsible for the activity being audited.
  - e) Ensure that all corrective and preventative actions are followed up to review the effectiveness of those actions.



- f) Ensure that the results of the management review meetings are evaluated and recorded, and
- g) Report directly to the Accountable Manager and have direct access to all post-holders and personnel on matters affecting the quality of ground services provided under this part.

9.1.8 Ensure that the quality system is audited by CAAM Ground Handling Unit Inspector at least once every 12 months.

9.1.9 The detailed requirements for Ground Handling compliance are specified in Appendix 1 of CAGM 6010.



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## 10 Records and Reports

### 10.1 General

- 10.1.1 Each Self-Handlers and GHSP's must establish procedures to create, store, maintain and dispose of the records prescribed in this section.
- 10.1.2 The procedures must ensure that:
- Personnel records are maintained.
  - Training records are maintained.
  - There is a record of each incident notified to the CAAM.
  - There is a record of each internal quality assurance review of the Self-Handlers and GHSP's organisation carried out under the procedures.
  - All records are legible and of a permanent nature and shall be retained for five (5) years.
- 10.1.3 The records under this subpart must be stored in a manner that ensures protection from damage, alteration, and theft.
- 10.1.4 The Self-Handlers and GHSPs shall store records for the periods as specified in the table below:

<b>GROUND PERSONNEL RECORD</b>	<b>RETENTION</b>
Ground Training	As long as the personnel is exercising the privileges of the licence for the GHSP.
Dangerous good training	Until 12 months after the personnel has left the employment of the GHSP
Security training	Until 12 months after the personnel has left the employment of the GHSP
Proficiency and qualification checks	As long as the personnel is exercising the privileges of the licence for the GHSP



<b>FORMS/ TRIP RECORDS</b>	
Completed load manifest Mass and balance reports Dispatch releases Operational flight plan Passenger manifests Weather reports Fuel and oil records	3 months after the completion of the flight for easy excess and 5 years in archives
<b>OTHER RECORDS</b>	
Quality and Safety system records	5 years
Ground Operations system records	5 years
Finance system records	7 years
Dangerous Goods transport document	6 months after the completion of the flight
Dangerous Goods acceptance checklist	6 months after the completion of the flight

## 10.2 Training file content and arrangement

10.2.1 The requirement for training file content and arrangement shall be as follows:

- a) Biodata
- b) Employment Letter
- c) Job Specifications
- d) Mandatory courses attended
- e) Training document:
  - 1) Initial /Differences Course
  - 2) Others (related to ground operations staff)
  - 3) Training/Courses Certificates
- f) License or Certificate:
  - 1) Flight Dispatcher,
  - 2) Loadmaster,
  - 3) SMS,
  - 4) Aircraft marshalling and towing,
  - 5) Forklift driving
  - 6) Driving license (e.g. ramp staff)
- g) Individual Yearly Training Program

*Note. – Courses are categories such as but not limited to SMS, Human Factor, Ramp Safety Courses, DGR/DGA, etc.*

## **11 Safety Management System**

### **11.1 Introduction to SMS**

11.1.1 The Safety Management System (SMS) is a framework of policies, processes, procedures, and techniques for an organisation to monitor and continuously improve its safety performance by making informed decisions on the management of operational safety risks. Specifications for an SMS are derived from global standards as stipulated in ICAO Annex 19.

11.1.2 All Self-Handlers and GHSP's shall have documented SMS. GHSPs with the operation category of Fuel and Oil Handling (cat 12), are allowed to adopt a different safety framework e.g. Health, Safety, Security and Environment (HSSE), which serves the same purposes as an SMS.

11.1.3 When GHSPs adopt other frameworks, a gap analysis comparing the adopted system and SMS as stipulated in ICAO Annex 19 shall be provided.

### **11.2 Components of a Safety Management System**

11.2.1 The ICAO Annex 19 SMS framework specifies four components that make up the basic structure of an SMS.

a) Component 1 – Safety policy and objectives, which detail the organisational and administration aspects of the SMS, including the assignment of roles and responsibilities. The following shall be clearly defined and documented.

- 1) Management commitment
- 2) Safety accountabilities and responsibilities
- 3) Appointment of key safety personnel
- 4) Coordination of emergency response planning
- 5) SMS documentation

b) Component 2 – Safety risk management, which details the method of collecting safety information (hazard identification), assessing the safety risks, and determination of any necessary control measures.

- 1) Hazard identification
- 2) Safety risk assessment and mitigation

c) Component 3 – Safety assurance, which details the monitoring of safety performance, particularly those actions associated with the outcome of safety risk management, and any actions taken to improve safety performance.

- 1) Safety performance monitoring and measurement
- 2) The management of change
- 3) Continuous improvement of the SMS

d) Component 4 – Safety promotion, which details the processes in place to handle and disseminate safety information and maintain safety competence and awareness in key personnel.

- 1) Training and education
- 2) Safety communication

11.2.2 The Self-Handlers and GHSPs shall demonstrate that all of four components and twelve elements are documented and implemented accordingly.

### **11.3 Human Factors**

11.3.1 Human factors are a science that pays attention to physical, psychological, and other human attributes to ensure that tasks are completed safely and efficiently with minimal risk to personnel and equipment. Most apron accidents and incidents involve to a certain degree human error or violation of company policies, processes, or procedures. Examples of human factors for consideration are:

- a) Safety culture;
- b) Human performance limitations;
- c) Environmental considerations;
- d) Procedures, information, tools, and task sign-off practices;
- e) Procedural non-compliance;
- f) Planning for tasks and equipment;
- g) Injury prevention;
- h) Fatigue/alertness management;
- i) Shift and task turnover;
- j) Error prevention strategies.

11.3.2 Self-Handlers and GHSP's shall incorporate human factors as part of the SMS.

### **11.4 Safety Culture**

11.4.1 Organisational safety culture sets the boundaries for acceptable behaviour in the workplace by establishing behavioural norms and limits. These cultures provide the cornerstone for managerial and employee decision-making.

11.4.2 Having a safety culture reflects senior management's commitment to safety. Senior management's attitude towards safety influences the employee's positive approach to safety and shared beliefs, practices, and attitudes. The tone for safety culture is set and driven by the words and actions of senior management during the implementation of a "Just Culture" process, which ensures fairness and open reporting in dealing with human error.



- 11.4.3 A positive safety culture demonstrates the following attributes:
- a) Senior management visibly demonstrates their commitment to their Safety Management System;
  - b) Those in senior positions consistently foster a climate in which there is encouragement towards, comments, and feedback from all levels of the organisation on safety matters;
  - c) There is an organisational policy regarding incident reporting (occupational and aviation safety) that encourages an open reporting culture where staff reports all safety events. There is a clear statement within the policy regarding management response to incidents, in particular, whether it operates a just culture policy;
  - d) It provides a clear distinction between what is acceptable and what are unacceptable behaviours, and people are treated accordingly;
  - e) There is a requirement to communicate safety information at all levels of the organisation. A communication infrastructure is developed and implemented;
  - f) There are policies and procedures documenting the identification of the hazards and assessment of risks associated with these hazards that exist and are accessible;
  - g) Personnel are trained and understand the safety event reporting policy within their organisation;
  - h) Lessons learned from previous incidents are shared and included in training content to promote the improvement of the safety programme;
  - i) An employee feedback system is established as part of the safety management system.
- 11.4.4 All Self-Handlers and GHSP's shall cultivate a safety culture as part of the SM



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